

DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION

Records Retention and Disposition Schedule

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

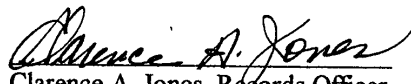
EMPLOYMENT SERVICE DIVISION


do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including machine readable records not listed in this schedule are not authorized to be destroyed.**

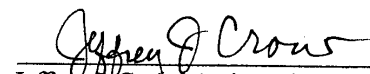
EMPLOYMENT SERVICE DIVISION

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.


APPROVAL RECOMMENDED

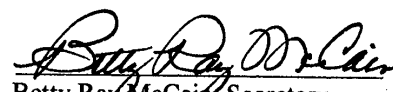
  
Clarence A. Jones, Records Officer  
Employment Security Commission

  
Ann Q. Duncan, Chairman  
Employment Security Commission

  
Jeffrey J. Crow, Acting Director  
Division of Archives and History

APPROVED

  
S. Davis Phillips, Secretary  
Department of Commerce

  
Betty Ray McCain, Secretary  
Department of Cultural Resources

August 4, 1995


JH

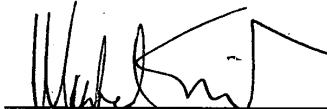
PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

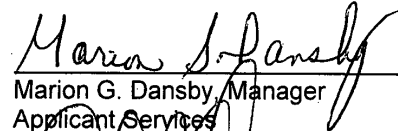
DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICES DIVISION  
APPLICANT SERVICES UNIT  
WORK OPPORTUNITY TAX CREDIT (WOTC)

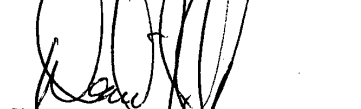
Amend the program records retention and disposition schedule approved August 4, 1985 by changing the title, description and disposition instructions of Item 431 as shown on substitute page dated August 15, 2002.

APPROVAL RECOMMENDED

  
Mary Schaeffer, Records Officer  
Employment Security Commission

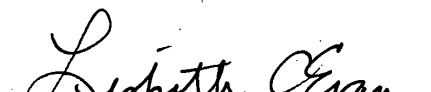
  
Manfred Emmrich, Director  
Employment Service Division

  
Marion G. Dansby, Manager  
Applicant Services

  
David J. Olson, Director  
Division of Historical Resources

APPROVED

  
Harry Payne, Chairman  
Employment Security Commission

  
Lisbeth C. Evans, Secretary  
Department of Cultural Resources

August 15, 2002

MS

DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION

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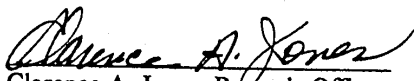
EMPLOYMENT SERVICE DIVISION

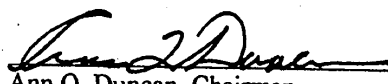
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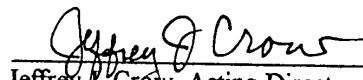
EMPLOYMENT SERVICE DIVISION

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APPROVAL RECOMMENDED

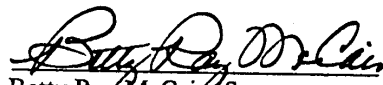
  
Clarence A. Jones, Records Officer  
Employment Security Commission

  
Ann Q. Duncan, Chairman  
Employment Security Commission

  
Jeffrey J. Crow, Acting Director  
Division of Archives and History

APPROVED

  
S. Davis Phillips, Secretary  
Department of Commerce

  
Betty Ray McCain, Secretary  
Department of Cultural Resources

August 4, 1995

This schedule was modified to  
comply with the provisions of the  
General Schedule for State Agency Records,  
effective October 1, 2000  
Remaining items retain the  
original date shown below.

JH

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION  
APPLICANT SERVICES UNIT  
ALIEN LABOR CERTIFICATION**

**ITEM 11954. ALIEN LABOR CERTIFICATION FILE.**

Applications for alien labor certification.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION  
APPLICANT SERVICES UNIT  
HANDICAPPED SECTION**

**ITEM 11957. OPERATIONAL FILE.**

Records concerning employment of the handicapped and older workers' programs. File includes brochures and other training materials.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION  
APPLICANT SERVICES UNIT  
WORK OPPORTUNITY TAX CREDIT (WOTC)**

**ITEM 431. WORK OPPORTUNITY TAX CREDIT/WELFARE TO WORK (WOTC/WTW) FILE.**

Records in paper and electronic formats concerning federal tax credit available to employers who hires new employees that meet Program criteria. File includes completed IRS-8850- Pre-Screening Notice and Certification Request WOTC/WtW, ETA 9061- Individual Characteristics WOTC/WtW, ETA 9062, Conditional Certification WOTC/WtW, ETA 9063- Employer Certifications WOTC/WtW, denial letters, and other related records. (Comply with Code of Federal Regulations (CFR) 51 and 51a regarding confidentiality of records.) File maintenance and backup procedures are conducted Information Technology Services (ITS). Amended 08-02-02

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records which were printed and filed when reference value ends. Transfer paper records to the State Records Center 2 years after date of certification or denial. Records will be held for agency in the State Records Center 3 additional years and then destroyed.

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION  
DIRECTOR'S OFFICE**

**ITEM 11916. NOTEBOOKS FILE.**

Information maintained in three-ring binders concerning the agency, division, and section. File includes training and programs letters, general administrative letters, state Employment Security Commission instructions, and Unemployment Insurance programs letters.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 11917. INTRA-DIVISION INFORMATION FILE.**

Intra-division memorandums concerning the administration, operation, and programs of each unit within the Employment Service Division. File includes correspondence, memorandums, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 11962. LOCAL OFFICE LEASES AND FLOOR PLANS FILE.**

Reference copies of agreements concerning the leasing of local office floor space.

DISPOSITION INSTRUCTIONS: Destroy in office 3 year(s) after termination of lease.

**ITEM 11967. REPORT TO LEGISLATIVE COMMITTEE FILE.**

Correspondence and reports concerning proposed and recommended resolutions for legislative committees.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

**ITEM 11969. ALERT FILE.**

Correspondence concerning plans to be used in emergency situations. File includes civil defense information for specific counties and other instructional material.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 11970. REPORTS AND EVALUATIONS FILE.**

Reports and evaluations containing pertinent information concerning procedures, responses, and corrective action taken.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 11971. LOCAL OFFICE PLANS FILE.**

Reference copies of blueprints and layouts concerning local offices.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 11975. JOB SERVICES EMPLOYERS' COMMITTEES FILE.**

Reference copies of minutes from Job Services Employers' Committees.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 11976. PROMOTIONAL MATERIALS FILE.**

Handouts and brochures concerning services offered by the Employment Service Division.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 11977. REPORT ON EMPLOYERS' CONTACT FILE.**

Employer Service Automatic Reporting Service (ESARS) activity reports concerning job applicants.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION  
DIRECTOR'S OFFICE**

**ITEM 11980. CURRENT OPERATION FILE.**

Working materials used in current operations. File includes reference copies of co-op agreements and state-level contracts with multi-establishment firms.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.



**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION  
MANAGEMENT SERVICES UNIT**

**ITEM 11984. LOCAL OFFICE FILE.**

Activity and evaluation reports used to compare present and past performances.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 11991. DECENTRALIZED FILE.**

Unit material and correspondence sent to the national, regional, and local offices. File includes reports, planning materials, and approved procedures.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION  
MANPOWER PROGRAMS UNIT (JTPA & WIN)  
INSTITUTIONAL TRAINING UNIT**

**ITEM 438. WORK INCENTIVE PROGRAM PARTICIPANT FOLDERS FILE.**

Records concerning work incentive enrollment forms, pay ledgers, and correspondence regarding individual clients.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy records currently stored in the State Records Center when grant is closed and audited. Agency will supply retention status report annually.

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION  
MANPOWER PROGRAMS UNIT  
OJT**

**ITEM 12021. AUDIT REPORTS FILE.**

Audit reports concerning the Job Partnership Training Act and the On-the-Job Training programs.  
(Balance of state audits are conducted by the Department of State Auditor and local prime sponsor audits are contracted to certified public accountants' firms.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 audit cycles.  
Records will be held for agency in the State Records Center 5 additional years and until released from all audits and then transferred to the custody of the Archives.

**ITEM 12028. AUDIT CONTROL NOTEBOOKS FILE.**

Audit control notebooks containing information concerning processing of audit exceptions.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

**ITEM 12029. INTERNAL CONTROL LOGS FILE.**

Control logs concerning payments, authorizations, and status of funds.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) and when released from all audits, whichever occurs later.

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION  
OCCUPATIONAL ANALYSIS FIELD CENTER**

**ITEM 11923. SOURCE DATA FILE.**

Source data used to create and support the fourth and fifth edition of the U.S. Department of Labor's publication "Dictionary of Occupational Titles." (Previous editions are on microfilm in the U.S. Department of Labor.)

DISPOSITION INSTRUCTIONS: Follow federal retention and disposition instructions.

**ITEM 11924. STAFFING SCHEDULE FILE.**

Industry data used to create and support the "Dictionary of Occupational Titles." (Information is arranged by industry rather than job title.)

DISPOSITION INSTRUCTIONS: Follow federal retention and disposition instructions.

**ITEM 11925. CROSS-REFERENCE CARDS FILE.**

Cards used as a cross-reference to locate information in Source Data File when information is not requested by number.

DISPOSITION INSTRUCTIONS: Follow federal retention and disposition instructions.

**ITEM 11926. SOURCE DATA PRINTOUT FILE.**

Computer printouts concerning Source Data File. Printouts included are "Document Number," "Code," "Title," "Covered Employment," and "Staffing Schedules."

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

**ITEM 11927. CORRESPONDENCE FILE.**

Correspondence and memorandums with federal, state, foreign governments, field centers, and within the agency. File includes programmatic records regarding the unit.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 11928. OCCUPATIONAL DEFINITIONS FILE.**

Reference information concerning the third edition of the "Dictionary of Occupational Titles."

DISPOSITION INSTRUCTIONS: Follow federal retention and disposition instructions.

**ITEM 11929. CONVERSION FILE.**

Computer printouts concerning unfilled positions between dates of publication of the third and fourth editions of the "Dictionary of Occupational Titles."

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 11930. VERIFICATION FILE.**

Source data concerning verification of the carry-over of an occupational title from the third edition of the "Dictionary of Occupational Titles" to the fourth edition.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 11933. DATA COLLECTION PROJECT FILE.**

Project data concerning the fourth edition of the "Dictionary of Occupational Titles."

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION  
RURAL MANPOWER**

**ITEM 12068. AGRICULTURE CLEARANCE ORDER FILE.**

Agriculture clearance orders requesting seasonal and migrant workers.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**ITEM 12069. ALIENS CLEARANCE ORDER FILE.**

Aliens clearance orders requesting alien, migrant, and seasonal workers.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**ITEM 12071. OUTREACH WORKER REPORTS FILE.**

Reports concerning number of workers and descriptions of work engaged in by migrant and seasonal workers.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**ITEM 12072. HOUSING REPORTS FILE.**

Correspondence and inspection reports concerning housing conditions of migrant and seasonal workers.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 12073. RURAL MANPOWER REPORTS FILE.**

Annual reports summarizing all migrant activities during the year.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION  
SOUTHERN ASSESSMENT RESEARCH AND DEVELOPMENT CENTER**

**ITEM 11934. TEST DATA FILE.**

Source information used to develop and support test batteries and assessment instruments.  
(Information is placed on microfiche.)

DISPOSITION INSTRUCTIONS: Retain microfiche in office permanently. Destroy in office paper records after microfiche has been verified and quality control procedures completed.

**ITEM 11937. SPECIAL RESEARCH STUDIES FILE.**

Special studies concerning the development of assessment tools and techniques for use in vocational counseling/evaluation and in job referral.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 11938. CORRESPONDENCE FILE.**

Unit correspondence with state and federal governments, individuals, companies, and other divisions of Employment Security Commission. File includes reports of monthly and quarterly activities.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION  
VETERANS SERVICES**

**ITEM 12078. VETERANS' PROGRAM FILE.**

Monthly reports, federal evaluations, promotion programs, federal compliance information, and guidelines concerning veterans' programs.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 12079. VETERANS CORRESPONDENCE FILE.**

Correspondence from local offices concerning visit evaluations and subjective analysis of the 13-week program.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 12080. EMPLOYMENT SERVICES AUTOMATIC REPORTING SYSTEM (ESARS) PRINTOUT FILE.**

Copies of data which applies to veterans' activities in local job services offices. File includes biennial and annual data.

DISPOSITION INSTRUCTIONS: Destroy in office biennial data after 4 years. Destroy in office remaining records after 2 years.

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION  
WORKFORCE DEVELOPMENT UNIT  
CONTRACT SERVICES**

**ITEM 12044. CORRESPONDENCE (BOS/LPS) FILE.**

Correspondence with local prime sponsors and balance of state programs contractors concerning activity or changes in contracts.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**ITEM 12045. PROGRAM FILE.**

Correspondence and topical records concerning programmatic areas.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.



**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
EMPLOYMENT SERVICE DIVISION  
WORKFORCE DEVELOPMENT UNIT  
DIRECTOR'S OFFICE**

**ITEM 424. CORRESPONDENCE FILE.**

Correspondence concerning administration and operation of the Workforce Development Unit. File also includes memorandums, reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 427. PROGRAM ACTIVITY NOTEBOOKS FILE.**

Program activity reports maintained in three-ring binders concerning fiscal year actions for Service Delivery Area programs.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 12000. NOTEBOOKS (FEDERAL) FILE.**

Federal programmatic records maintained in three-ring binders. File includes or concerns unemployment insurance procedural letters, prime sponsor and state Employment Security Agency instructions, field memorandums, reports, analysis correspondence, and U.S. Department of Labor "Highlights" and "News" bulletins.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 12001. NOTEBOOKS (STATE) FILE.**

State programmatic records maintained in three-ring binders. File includes Employment Security numbered bulletins, Administrative Services numbered bulletins, Research and Statistics numbered bulletins, administrative bulletins, and unnumbered bulletins.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.